



Attorney Docket No.: 5489P045X

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Wayne V. Sorin, et al.

Application No.: 09/805,489

Filed: March 13, 2001

For: OPTICAL APPARATUS WITH
FARADAY ROTATOR, STATIC
GAIN FLATTENING FILTER AND
VARIABLE OPTICAL ATTENUATOR

Date of Allowance: November 28, 2003

Confirmation No.: 2385

Examiner: Healy, Brian

Art Unit: 2874

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on March 1, 2004
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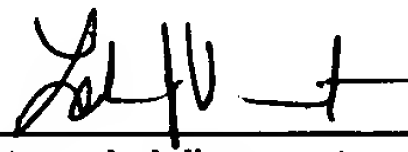
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Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: March 1, 2004



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Los Angeles, CA 90025
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Substitute for Form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/805,489
Filing Date	March 13, 2001
First Named Inventor:	Wayne V. Sorin
Art Unit	2874
Examiner Name	Healy, Brian
Attorney Docket Number	5489P045X

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (If known)				
		US-	5,970,201	10/19/1999	Anthony et al.	
		US-	6,058,226	05/02/2000	Starodubov	
		US-	6,181,840	01/30/2001	Huang et al.	
		US-	6,631,224 B1	10/07/2003	Sorin et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				
		TW	382 662 B	02/21/2000	National Science Council		

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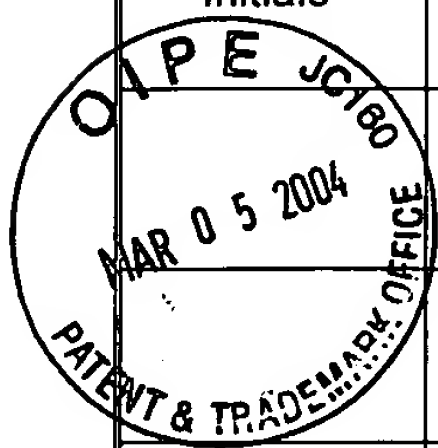
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Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Complete if Known		
			Application Number	09/805,489	
			Filing Date	March 13, 2001	
			First Named Inventor:	Wayne V. Sorin	
			Art Unit	2874	
			Examiner Name	Healy, Brian	
Sheet	2	of	2	Attorney Docket Number	5489P045X

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		F. Shehadeh, R.S. Vodhanel, M. Krain, C. Gibbons, R.E. Wagner, and M. Ali, "Gain-Equalized, Eight-Wavelength WDM Optical Add-Drop Multiplexer with an 8-dB Dynamic Range, IEEE Photonic Technology Letters, Vol. 7, No. 9, pp. 1075-1077 (September 7, 1995)	



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Christopher P. Marshall
Name of Person Mailing Correspondence
CP. Marshall 3/1/2004
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REQUEST FOR EXAMINER INITIALS

Sir:

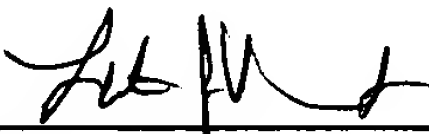
Applicants request that the Examiner initial the Forms Pto-1449 submitted with an Information Disclosure Statements filed April 6, 2001 and July 12, 2001 in the present application and return photocopies of those initialed Forms PTO-1449 to applicants. Applicants request the Examiner's initials in order to show consideration of the cited references.

Photocopies of the previously-submitted Form Pto-1449 are included herewith
without copies of the previously submitted references.

Respectfully submitted,

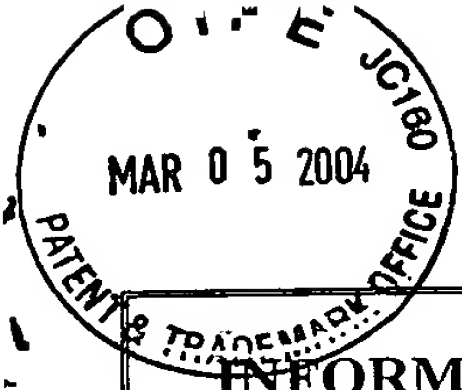
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Dated: March 1, 2004



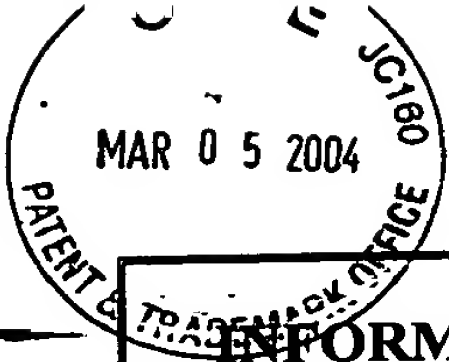
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INFORMATION DISCLOSURE CITATION PTO-1449			ATTY. DOCKET NO. 21501-728		SERIAL NO. 09/805,489		
			APPLICANT Sorin et al.				
			FILING DATE March 13, 2001		GROUP Unassigned		
U.S. PATENT DOCUMENTS							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
	6,151,157	11/21/00	Ball et al.	359	341		
	6,151,427	11/21/00	Satorius	385	7		
FOREIGN PATENT DOCUMENTS							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
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						<input type="checkbox"/>	<input type="checkbox"/>
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
EXAMINER			DATE CONSIDERED				

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INFORMATION DISCLOSURE CITATION PTO-1449			ATTY. DOCKET NO. 21501-728		SERIAL NO. Unassigned	
			APPLICANT Kim et al.			
			FILING DATE 03/12/01		GROUP Unassigned	
U.S. PATENT DOCUMENTS						
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
FOREIGN PATENT DOCUMENTS						
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)						
	J.N. Blake, B.Y. Kim, H.E. Engan, and H.J. Shaw, "Analysis of intermodal coupling in a two-mode fiber with periodic microbends", Opt. Lett., vol. 12, 281-283 (1987).					
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EXAMINER			DATE CONSIDERED			

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**INFORMATION DISCLOSURE
CITATION**

PTO-1449

ATTY. DOCKET NO.

21501-728

SERIAL NO.

Unassigned

APPLICANT Kim et al.

FILING DATE 03/12/01

GROUP Unassigned

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
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FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

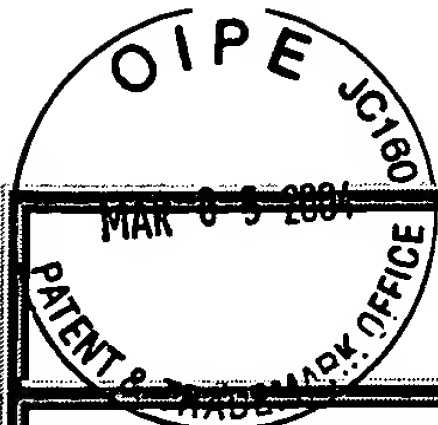
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	Yijiang Chen, "Acousto-optic frequency shifter using coaxial fibers", Optical and Quant. Elect., vol. 21, pp. 491 - 498 (1989).

EXAMINER

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Summary of USPTO Kind Codes Used on Documents Published Beginning January 2, 2001

WIPO ST.16 Kind Codes	Kind of document	Comments
A1	Patent Application Publication	Pre-grant publication available March 2001
A2	Patent Application Publication (Republication)	Pre-grant publication available March 2001
A9	Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
B1	Patent	No previously published pre-grant publication
B2	Patent	Having a previously published pre-grant publication and available March 2001
C1, C2, C3...	Reexamination Certificate	Previously used codes B1 and B2 are now used for granted Patents
E	Reissue Patent	No change
H	Statutory Invention Registration (SIR)	No change
P1	Plant Patent Application Publication	Pre-grant publication available March 2001
P2	Plant Patent	No previously published pre-grant publication
P3	Plant Patent	Having a previously published pre-grant publication and available March 2001
P4	Plant Patent Application Publication (Republication)	Pre-grant publication available after March 2001
P9	Plant Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
S	Design Patent	No change